



Attorney's Docket No.: 17315-002002

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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant : Frederick G. St. Goar  
Serial No. : 10/820,581  
Filed : April 7, 2004  
Conf. No. : 8576  
Title : METHODS AND APPARATUS FOR CARDIAC VALVE REPAIR

Art Unit : 3732  
Examiner : Unknown


**Mail Stop Amendment**  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

**TRANSMITTAL LETTER**

Transmitted herewith are an Information Disclosure Statement, Form PTO-1449 (3 pages), cited references, and return postcard for filing in connection with the above-captioned patent application.

- ☒ The Commissioner is hereby authorized to charge the fee for the extension of time and any other fee that may be due in connection with this and the attached papers or with this application during its entire pendency to Deposit Account No. 06-1050. A duplicate of this sheet is enclosed.

Respectfully submitted,

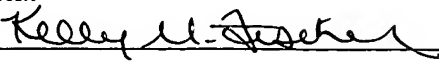
  
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**CERTIFICATE OF MAILING BY FIRST CLASS MAIL**

I hereby certify under 37 CFR §1.8(a) that this correspondence is being deposited with the United States Postal Service as first class mail with sufficient postage on the date indicated below and is addressed to the Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

October 19, 2004  
\_\_\_\_\_  
Date of Deposit

  
\_\_\_\_\_  
Signature

Kelly M. Fischer



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**INFORMATION DISCLOSURE STATEMENT**

Because this Information Disclosure Statement is filed before the receipt of a First Office Action on the Merits for the above-captioned application, a fee for filing this statement should not be due. If, however, it is determined that a fee is due, any fees that may be due in connection with filing this paper may be charged to Deposit Account No. 06-1050.

In accordance with the duty of disclosure imposed by 37 C.F.R. §1.56 to inform the Patent Office of all references known by Applicant or Applicant's representative that may be material to the examination of the subject application, Applicant's representative hereby provides this Information Disclosure Statement that is prepared in accordance with 37 C.F.R. §§1.97-1.98. Form PTO-1449 (3 pages) and copies of the Foreign Patents and Other Art are provided herewith in connection with the above-captioned application.

The documents listed on the Form PTO-1449 are in the English language. Hence, in accordance with the requirements of 37 C.F.R. §1.98, as amended effective March 16, 1992, no further explanation of the listed item is necessary.

Applicant also makes known to the Examiner the following U.S. and International Applications that have one or more common inventors and/or are commonly owned:

<u>U.S.S.N.</u>	<u>Filing Date</u>	<u>Publ./Patent No.</u>	<u>Docket No.</u>
09/523,018	03/10/00	6,461,366	20489-000300
09/544,930	04/07/00	6,629,534	20489-000110
09/894,463	06/27/01	6,752,813	20489-000400US

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Page : 2 of 2

Attorney's Docket No.: 17315-002002

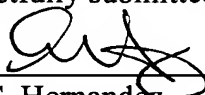
<u>U.S.S.N.</u>	<u>Filing Date</u>	<u>Publ./Patent No.</u>	<u>Docket No.</u>
10/087,004	03/01/02	2003/0167071	20489-000500US
10/202,599	07/24/02	6,770,083	20489-000310US
10/441,508	05/19/03	2004/0092962	20489-001500US
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10/638,022	08/07/03	2004/0039442	20489-000130US
10/803,444	03/17/04	Awaiting	—

<u>Int'l Appl. No.</u>	<u>Filing Date</u>	<u>Publication No.</u>	<u>Docket No.</u>
PCT/US00/09290	04/07/00	WO 00/60955	—

Although these documents are made known to the Patent and Trademark Office in compliance with Applicant's duty of disclosure, such disclosure is not to be construed as an admission by Applicant or Applicant's representative that any of the references is effective as prior art against the subject application. In accordance with 37 C.F.R. 1.97(h), the filing of this Information Disclosure Statement shall not be construed to mean that a search has been made or that no other material information as defined in 37 C.F.R. 1.56(b) exists.

Applicant respectfully requests that the Examiner review the foregoing references and make them of record in the file history of the above-captioned application.

Respectfully submitted,

  
\_\_\_\_\_  
Fred C. Hernandez  
Reg. No. 41,832

Attorney Docket No. 17315-002002  
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Substitute Form PTO-1448 (Modified)				U.S. Department of Commerce Patent and Trademark Office		Attorney's Docket No. 17315-002002		Application No. 10/820,581	
<b>List of Patents and Publications for Applicant's Information &amp; Disclosure Statement</b>  (37 CFR §1.98(b))				Applicant Frederick G. St. Goar				Group Art Unit 3732	
				Filing Date April 7, 2004					

U.S. Patent Documents							
Examiner Initial	Desig. ID	Document Number	Publication Date	Patentee	Class	Subclass	Filing Date If Appropriate
	A	2003/0078654	04/24/03	Taylor et al.	623	2.36	08/14/02
	B	2003/0069636	04/10/03	Solem et al.	623	2.37	11/26/02
	C	2003/0069593	04/10/03	Tremulis et al.	606	142	08/10/02
	D	2003/0069570	04/10/03	Witzel et al.	606	28	11/12/02
	E	2004/0039443	02/26/04	Solem et al.	623	2.37	12/24/02
	F	2004/0039442	02/26/04	St. Goar et al.	623	2.36	08/07/03
	G	2004/0030382	02/12/04	St. Goar et al.	623	2.36	08/05/03
	H	2004/0019378	01/29/04	Hlavka et al.	623	2.11	07/18/03
	I	2004/0019377	01/29/04	Taylor et al.	623	2.11	01/14/03
	J	2004/0003819	01/08/04	St. Goar et al.	128	898	07/03/03
	K	3,671,979	06/27/72	Moulopoulos, S.	623	2.11	09/23/69
	L	3,874,338	04/01/75	Happel, F.	119	14.43	10/05/73
	M	4,056,854	11/18/77	Boretos et al.	623	2.18	09/28/76
	N	4,484,579	11/27/4	Meno et al.	606	194	07/19/82
	O	4,917,089	04/17/90	Sideris	606	215	08/29/88
	P	4,994,077	02/19/91	Dobben	623	2.2	04/21/89
	Q	5,226,911	07/13/93	Chee et al.	606	191	10/02/91
	R	5,234,437	08/10/93	Sepetka	606	108	12/12/91
	S	5,250,071	10/05/93	Palermo	606	198	09/22/92
	T	5,261,916	11/16/93	Engelson	606	108	12/12/91
	U	5,312,415	05/17/94	Palermo	606	108	09/22/92
	V	5,332,402	07/26/94	Teitelbaum	623	2.42	05/12/92
	W	5,350,397	09/27/94	Palermo et al.	606	200	11/13/92
	X	5,411,552	05/02/95	Andersen et al.	623	2.18	06/14/94
	Y	5,554,185	09/10/96	Block et al.	623	2.12	07/18/94
	Z	5,690,671	11/25/97	McGurk et al.	606	200	12/13/94
	AA	5,719,725	02/17/98	Nakao	360	98.06	12/02/96
	AB	5,769,812	06/23/98	Stevens et al.	604	4.01	10/16/96
	AC	5,797,960	08/25/98	Stevens et al.	606	213	04/20/95
	AD	5,823,956	10/20/98	Roth et al.	600	374	05/07/96

Examiner Signature

Date Considered

EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

Substitute Form PTO-1449 (Modified)  <b>List of Patents and Publications for Applicant's Information Disclosure Statement</b>  (37 CFR §1.98(b))	U.S. Department of Commerce Patent and Trademark Office	Attorney's Docket No. 17315-002002	Application No. 10/820,581
	Applicant Frederick G. St. Goar		
	Filing Date April 7, 2004	Group Art Unit 3732	

**U.S. Patent Documents**

Examiner Initial	Desig. ID	Document Number	Publication Date	Patentee	Class	Subclass	Filing Date If Appropriate
	AE	5,829,447	11/03/98	Stevens et al.	128	898	05/07/96
	AF	5,840,081	11/24/98	Andersen et al.	623	1.11	02/19/97
	AG	5,855,614	01/05/99	Stevens et al.	128	898	05/07/96
	AH	6,626,899	0/30/03	Houser et al.	606	14	07/03/01
	AI	6,629,534	10/07/03	St. Goar et al.	128	898	04/07/00
	AJ	6,689,164	02/10/04	Seguin	623	2.36	10/10/00

**Foreign Patent Documents or Published Foreign Patent Applications**

Examiner Initial	Desig. ID	Document Number	Publication Date	Country or Patent Office	Class	Subclass	Translation	
							Yes	No
	AK	00/03759	01/27/00	PCT				
	AL	03/037171	05/08/03	PCT				
	AM	2004/004607	01/15/04	PCT				
	AN	91/01689	02/21/91	PCT				
	AO	98/35638	08/20/98	PCT				
	AP	99/00059	01/07/99	PCT				
	AQ	99/01377	01/14/99	PCT				

**Other Documents (include Author, Title, Date, and Place of Publication)**

Examiner Initial	Desig. ID	Document
	AR	Abe et al., "De Vega's Annuloplasty for Acquired Tricuspid Disease: Early and Late Results in 110 Patients," Ann. Thorac. Surg. 48:670-676 (1989)
	AS	Ali Khan et al., "Blade Atrial Septostomy: Experience with the First 50 Procedures," Cathet. Cardiovasc. Diagn. 23:257-262 (1991)
	AT	Alvarez et al., "Repairing the Degenerative Mitral Valve: Ten- to Fifteen-Year Follow-up," J. Thorac. Cardiovasc. Surg. 112:238-247 (1996)
	AU	Bach and Bolling et al., "Early improvement in congestive heart failure after correction of secondary mitral regurgitation in end-stage cardiomyopathy," Am. Heart J. 129:1165-1170 (1995)
	AV	Bach and Bolling et al., "Improvement following correction of secondary mitral regurgitation in end-stage cardiomyopathy with mitral annuloplasty," Am. J. Cardiol. 78:966-969 (1996)
	AW	Bolling et al., "Surgery for Acquired Heart Disease," J. Thorac. Cardiovasc. Surg. 109:676-683 (1995)

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List of Patents and Publications for Applicant's Information Disclosure Statement  (37 CFR §1.98(b))			Applicant Frederick G. St. Goar	
			Filing Date April 7, 2004	Group Art Unit 3732
<b>Other Documents (include Author, Title, Date, and Place of Publication)</b>				
Examiner Initial	Desig. ID	Document		
	AX	Dec and Fuster et al., "Idiopathic dilated cardiomyopathy," N. Engl. J. Med. 331:1564-1575 (1994)		
	AY	Fucci et al., "Improved results with mitral valve repair using new surgical techniques," European journal of cardio-thoracic surgery 9:621-627 (1995)		
	AZ	Kameda et al., "Annuloplasty for Severe Mitral Regurgitation Due to Dilated Cardiomyopathy," Ann. Thorac. Surg. 61:1829-1832 (1996)		
	BA	Maisano et al., "The edge-to-edge technique: a simplified method to correct mitral insufficiency," European journal of cardio-thoracic surgery. 13:240-246 (1998)		
	BB	McCarthy and Cosgrove et al., "Tricuspid Valve Repair with the Cosgrove-Edwards Annuloplasty System," Ann. Thorac. Surg. 64:267-268 (1997)		
	BC	Park et al., "Clinical Use of Blade Atrial Septostomy," Circulation 58:600-606 (1978)		
	BD	Ricchi et al., "Linear Segmental Annuloplasty for Mitral Valve Repair," Ann. Thorac. Surg. 63:1805-1806 (1997)		
	BE	Tager et al., "Long-term follow-up of rheumatic patients undergoing left-sided valve replacement with tricuspid annuloplasty – validity of preoperative echocardiographic criteria in the decision to perform tricuspid annuloplasty," Am. J. Cardiol. 81:1013-1016 (1998)		
	BF	Uchida et al., "Percutaneous cardiomyotomy and valvulotomy with angioscopic guidance," Am. Heart J. 121:1221-1224 (1991)		
	BG	Umana et al., " 'Bowtie' Mitral Valve Repair: An Adjuvant Technique for Ischemic Mitral Regurgitation," Ann. Thorac. Surg. 66:1640-1646 (1998)		

Examiner Signature	Date Considered
EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.	